



STATE OF NEVADA – DEPARTMENT OF PERSONNEL

CLASS SPECIFICATION

<u>TITLE</u>	<u>GRADE</u>	<u>EEO-4</u>	<u>CODE</u>
CHIEF OF ENFORCEMENT	43	A	7.184
CHIEF OF REGISTRATION	41	A	7.185

Under administrative direction of the Securities Administrator in the Secretary of State’s Office, plan, organize, manage and coordinate the operations of the Enforcement Section or the Registration and Licensing Section to include supervision of subordinate staff and direction of activities to ensure compliance with pertinent laws and regulations.

Conduct legal research and analysis of problem areas in securities and commodities statutes, regulations and internal policies; draft revisions, proposals and legislation for the administrator’s review.

Prepare and review subpoenas and administrative orders issued by the division in connection with enforcement activities and the activities of licensed entities and persons, and prepare and assist in negotiating legally binding settlement agreements or consent orders on behalf of the division or at the request of the administrator.

Supervise the performance of professional and clerical staff of the assigned section that includes assigning work, evaluating performance and conducting appraisal interviews; review appraisal reports prepared by subordinate supervisors; provide guidance and counseling; and approve training requests.

Manage the activities and operations of the assigned section; determine training and equipment needs, establish operational procedures, maintain appropriate records and reports, and resolve personnel matters; ensure implementation of division policies.

Direct investigations and audits into suspected violations of securities and commodities laws or regulations; review and analyze the adequacy of evidence collected by subordinate criminal investigators or auditors and make final recommendations to the administrator as to what legal action should be taken.

Assist and train Deputy Attorney Generals assigned to the Securities Division in conducting legal research and drafting legal documents on behalf of the division; review legal documents prepared and submit to the administrator for final approval.

Render legal interpretive opinions and no-action letters concerning the application of securities and commodities laws.

Direct the licensing, administration and enforcement of the Uniform Athletes’ Agents Act (NRS 398); prepare rules, regulations, forms and procedures for the examination of licensing applications and the administration and enforcement of the statute; work with the Attorney General to draft amendments to the statute as required.

Perform related duties as assigned.

CLASS CONCEPTS

Chief of Enforcement: Under administrative direction, the incumbent manages the Enforcement Section that brings felony criminal actions, civil actions and/or administrative actions against anyone who violates State laws governing securities and commodities.

Chief of Registration: Under administrative direction, the incumbent manages the Registration and Licensing Section that reviews and processes securities registrations and broker/dealer, investment adviser, sales representative, investment adviser representative and agent of the issuer licensing within the State.

MINIMUM QUALIFICATIONS

CHIEF OF ENFORCEMENT:

EDUCATION AND EXPERIENCE: Graduation from an accredited law school with a juris doctor degree and three years of experience in criminal investigations of white collar crimes such as securities, insurance and computer fraud, and various schemes such as advanced fee, pyramid, chair referral, bankruptcy, business opportunity, and land schemes, one year of which must have included supervision of professional level employees and involved planning, organizing, directing and evaluating their work activities.

CHIEF OF REGISTRATION:

EDUCATION AND EXPERIENCE: Graduation from an accredited law school with a juris doctor degree and three years of experience in the registration and licensing of securities and commodities, one year of which must have included supervision of professional level employees and involved planning, organizing, directing and evaluating their work activities.

BOTH CLASSES:

ENTRY KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

Detailed knowledge of: State and federal securities and commodities laws; legal procedure as applied to the preparation of legal documents and presenting cases; State and federal securities and commodities laws. **Working knowledge of:** legal and administrative hearings procedures; investigative techniques; supervisory and training practices; financial and accounting principles; the securities industry including standards relating to registration, underwriting and corporation financing. **Ability to:** analyze financial documents and statements; identify violations of State and federal securities laws and conduct investigations; analyze sophisticated investment schemes, reconstruct events, and follow the funds; substantiate findings with appropriate evidence; prepare investigative reports; communicate effectively both orally and in writing.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

Working knowledge of: Nevada Uniform Securities Act and Commodities Code; Nevada Administrative Procedures Act; agency rules, regulations, policies and procedures; State Administrative Manual and State personnel administration rules; Nevada Uniform Athletes' Agents Act.

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CHIEF OF REGISTRATION

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This class specification is used for classification, recruitment and examination purposes. It is not to be considered a substitute for work performance standards for positions assigned to this class.

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ESTABLISHED:	5/10/04R	8/6/87PC
	8/11/06PC	
REVISED:		4/26/89R
		9/22/89PC
REVISED:		7/1/91P
		10/19/90PC
REVISED:		7/1/93P
		9/24/92PC
REVISED:		10/1/01R
		10/31/01UC
REVISED:		8/11/06PC